

FIG. 1

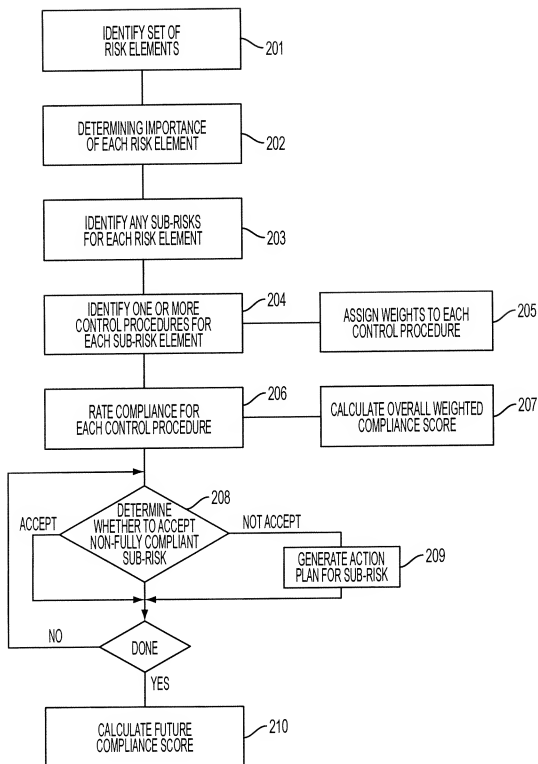


FIG. 2

Assessments	Scope	Risk Assessment	Risk Detail	Action Plan	Submit																												
<div style="display: flex; justify-content: space-between;"> Voice / Trader Voice / Hong Kong 301 </div> <div style="display: flex; align-items: flex-start;"> <table border="1" style="margin-right: 10px;"> <thead> <tr> <th>Risk Rating</th><th>High</th><th>Med</th><th>Low</th></tr> </thead> <tbody> <tr> <td>Business Continuity</td><td>☐</td><td></td><td></td></tr> <tr> <td>Financial Information</td><td>☐</td><td>☐</td><td></td></tr> <tr> <td>Legal/Regulatory</td><td>☐</td><td></td><td>☐</td></tr> <tr> <td>People</td><td>☐</td><td></td><td>☐</td></tr> <tr> <td>Physical Security</td><td>☐</td><td></td><td>☐</td></tr> <tr> <td>Technology</td><td>☐</td><td></td><td>☐</td></tr> </tbody> </table> <div style="flex-grow: 1;"> <p>Risk Description:</p> <p>The risk that the firm is unable to continue operating in a certain location(s) in the event of a disruption to business.</p> </div> </div>						Risk Rating	High	Med	Low	Business Continuity	☐			Financial Information	☐	☐		Legal/Regulatory	☐		☐	People	☐		☐	Physical Security	☐		☐	Technology	☐		☐
Risk Rating	High	Med	Low																														
Business Continuity	☐																																
Financial Information	☐	☐																															
Legal/Regulatory	☐		☐																														
People	☐		☐																														
Physical Security	☐		☐																														
Technology	☐		☐																														
<p>Policies:</p> <ol style="list-style-type: none"> Business and technology recovery action plans must exist for all businesses, including their associated support functions. Fluid components of the recovery plans (e.g. notification lists) must be updated semi-annually and more static information (e.g. strategies, recovery procedures) must be updated annually. 																																	

FIG. 3

Assessments	Scope	Risk Assessment	Risk Detail	Action Plan	Submit
Voice / Trader Voice / Hong Kong					
Risk Name	Subrisk Name	Gap Name	Control Procedure	Action Plan Status	Rating
Business Continuity	Bus. Resum.	A plan exists but is not as co	Off-site Recovability	Action Plan Created	Yellow
Business Continuity	Bus. Resum.	The last test was conducted	System Testing	Action Plan Created	Yellow
Business Continuity	Bus. Resum.	During the last test we had si	Test Performance	Action Plan Created	
Business Continuity	Bus. Resum.	During the last test we had si	Test Performance	Action Plan Created	

Task Search

☒ Create Action Plan ☐ Accept Ris

Description: 502

Target Date: 503

Action Plan: 504

Status: 501

Est. Cost: 505

FIG. 5

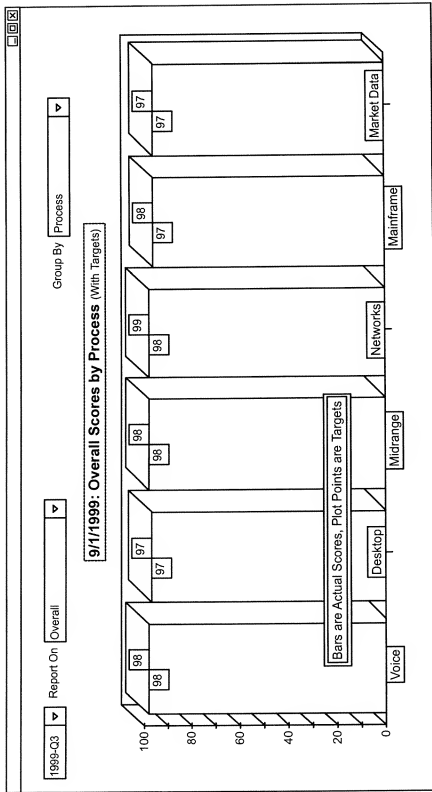


FIG. 6

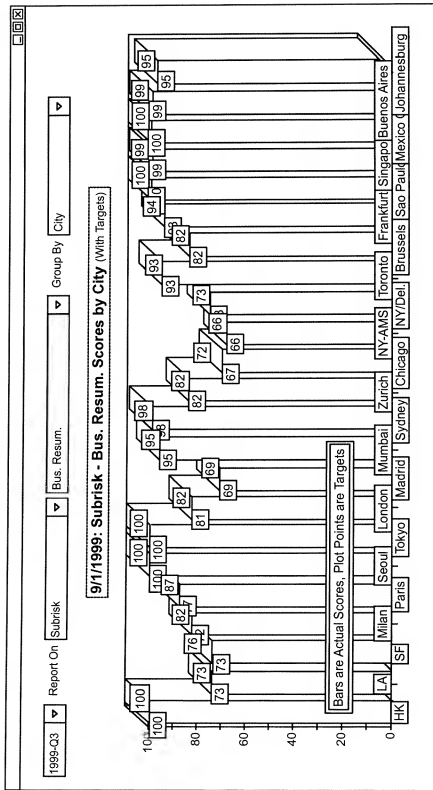


FIG. 7

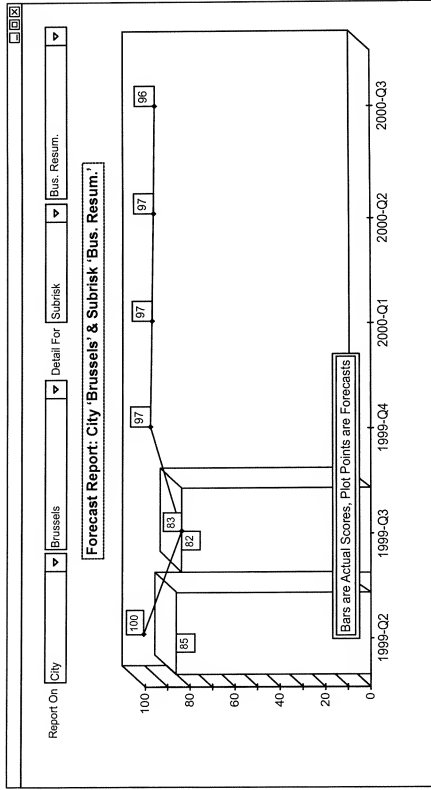


FIG. 8

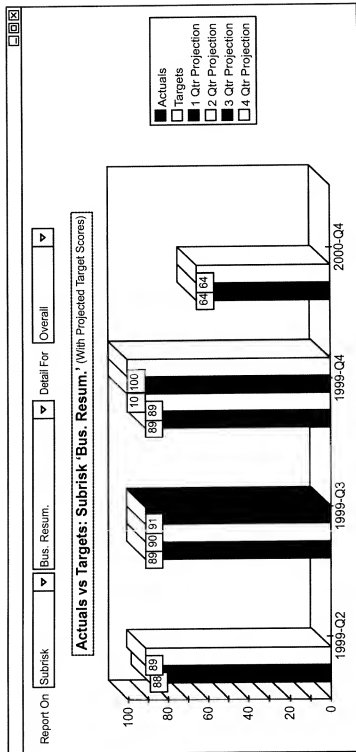


FIG. 9

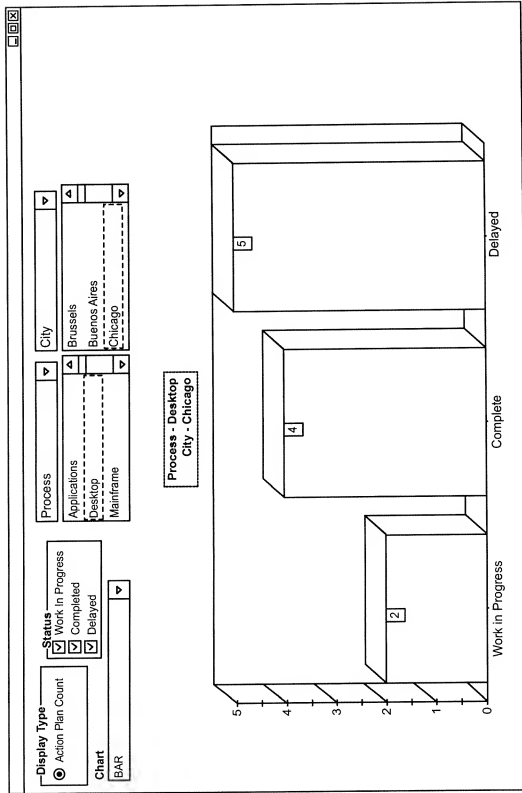


FIG. 10